



Certification under 37 CFR 1.8(a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with The United States Postal Service with sufficient postage as first class mail in an envelope addressed to The Assistant Commissioner of Patents, Washington, D.C. 20231 on August 23, 2001.

W. Dennis Drehkoff (Reg. No. 27193)

Name

Signature

DOCKET: CU-2315

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Adam Burczyk

Serial No.: 09/920,176

Group Art Unit:

Filed: August 1, 2001

Examiner:

For: SYSTEM AND METHOD FOR PRICING FINANCIAL AND INSURANCE
RISKS WITH HISTORICALLY-KNOWN OR COMPUTER GENERATED
PROBABILITY DISTRIBUTIONS

THE ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Applicants submit herewith patents, publications or other information of which the applicants are aware, which may be material to the examination of this application and in respect of which there may be a duty to disclose under 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

The references submitted herein are listed on PTO-1449 form (modified) enclosed herewith. A copy of each reference listed is being furnished except any duplicate or cumulative patents or publications specified otherwise.

A translation of any foreign language reference, if any, is indicated in PTO-1449 form and being submitted herein if it is readily available. Otherwise it should be construed that such translation is not readily available.

Additional comments, if any, on the relevance of each reference listed are provided as follows:

Also enclosed is a copy of an International Search Report listing the cited references enclosed herewith.

The Statement is made on the basis of the information:

_____	supplied by the inventor(s);
<u> X </u>	supplied by an individual associated with the filing and
_____	prosecution of this application (37 CFR 1.56(c)); or
_____	in the attorney's file.

Respectfully submitted,



Date: August 23, 2001

Signature of Attorney
W. Dennis Drehkoff
Ladas & Parry
224 South Michigan Avenue
Chicago Illinois 60604
Tel. No. (312) 427-1300
Reg. No. 27193



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Form PTO-1449 (Modified)

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))	ATTY. DOCKET NO. CU-2315	SERIAL NO. 09/920,176
	APPLICANT Adam Burczyk	
	FILING DATE August 1, 2001	GROUP

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	5 7 0 4 0 4 5	12/30/97	Douglas L. King et al.			01/09/95
	6 0 3 5 2 8 7	03/07/00	Stallaert et al.			12/17/97
	5 9 8 3 2 0 4	11/09/99	A. Joseph Debe			09/25/97
	6 0 4 9 7 7 2	04/11/00	Payne et al.			12/19/96
	5 9 7 0 4 6 4	10/19/99	Apte et al.			09/10/97
	5 9 7 0 4 7 9	10/19/99	Ian K. Shepherd			05/28/93
	5 8 9 3 0 7 2	04/06/99	Frank M. Zizzamia			06/20/96

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUB- CLASS	TRANSLATION YES NO
					0	

OTHER DOCUMENTS (Including Author, Title, Date, Place of publication)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449)



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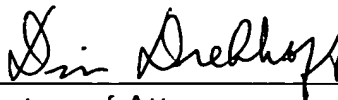
For: SYSTEM AND METHOD OF TRADING MONETIZED RESULTS OF RISK
FACTOR POPULATIONS WITHIN FINANCIAL EXPOSURES

THE ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT WITHIN THREE
MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of the first Office Action on the merits, whichever event occurs last. 37 CFR 1.97(b).

Date: August 23, 2001



Signature of Attorney

W. Dennis Drehkoff

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224 South Michigan Avenue

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Tel. No. (312) 427-1300

Reg. No. 27193



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0400 08-10-01

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For: SYSTEM AND METHOD OF TRADING MONETIZED RESULTS OF RISK FACTOR
POPULATIONS WITHIN FINANCIAL EXPOSURES

Box DD

THE ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

TRANSMITTAL LETTER

Dear Sir:

Enclosed are the following documents:

1. Information Disclosure Statement including Form PTO-1449
2. Return receipt postcard.

Please process these documents and affix your date stamp to the enclosed return receipt postcard to evidence your receipt of the same. The Commissioner is authorized to charge any additional fees associated with this case or credit any overpayment to Deposit Account 12-0400.

August 23, 2001

Date

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